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11-28-02  
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Docket No.: 1330.1013C2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Donald A. SMALLEY, et al.

Serial No. 09/837,428

Group Art Unit: 2171

Confirmation No. 8921

Filed: April 19, 2001

Examiner: To be Assigned

For: SYSTEM FOR MANAGING REGULATED ENTITIES

LETTER TO EXAMINER

Assistant Commissioner for Patents  
Washington, D.C. 20231

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Technology Center 2100

Sir:

An Information Disclosure Statement (IDS) was filed on or about November 5, 2002, citing three references. The Examiner is requested to note that the undersigned is not certain whether the references qualify as prior art under certain parts of 35 USC section 102(b), for example, as the references may not qualify as printed publications. Attached hereto is a substitute reference list "Attachment 1(g)-List of Additional Submitted Documents" particularly noting this uncertainty. The Examiner is requested to substitute this list for the list attached to the recently filed IDS.

Respectfully submitted,

STAAS & HALSEY LLP

Date: 11/01/02

By: [Signature]  
J. Randall Beckers  
Registration No. 30,358

700 11th Street, N.W., Ste. 500  
Washington, D.C. 20001  
(202) 434-1500